

# **Quality Assurance and Enhancement** **(QAE)**

## **Code of Practice for Postgraduate Research (PGR) Degree Students**

**2011-2012**  
**VERSION 10.0**  
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**[www.uel.ac.uk](http://www.uel.ac.uk)**



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## Welcome to new PGR Students

Welcome to UEL! I am delighted that you have chosen our University as the place to pursue your postgraduate research degree.

At UEL we are committed to providing the best possible support for all our students and postgraduate research is a key part of our activities. We are proud of the opportunities that we are able to offer you and I am confident that you will find your time here both challenging and rewarding in equal measure.

UK research continues to produce world class innovation and excellence. It is a crucial driver for cultural, economic and social transformation and change. UEL has a well established reputation for internationally-rated research across a wide range of disciplines and we have a significant number of researchers carrying out work ranked as world-leading. As a research student you will have the opportunity to become a full member of this broader UEL research community and to contribute to a thriving research culture.

The Code of Practice has been designed to help you with your studies and it provides information on the key stages for gaining a research degree. We are always keen to improve and enhance the support that we offer to students. As such, the handbook is also in many ways a *'living document'* and is revised annually. We would welcome any comments or suggestions for improvement that you might have. Please feel free to contact me directly.

Once again, on behalf of everyone at UEL, I would like to welcome you to our University and to wish you every success in your future research.

**Professor John J. Joughin**

**Deputy Vice-Chancellor (Academic)**

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Web: <http://www.uel.ac.uk/vcq/index.htm>



## **Contacts**

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Graduate Research Skills Training and MRes Programme Leader

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E-mail: [p.kiff@uel.ac.uk](mailto:p.kiff@uel.ac.uk)

**Main Switchboard (all campuses)**

Telephone: 020 8223 3000

**Student Admissions**

<http://www.uel.ac.uk/marketing/admissions/index.htm>

Telephone: 020 8223 2835

E-mail: [study@uel.ac.uk](mailto:study@uel.ac.uk)



### **Disability, Dyslexia & Access Centre (DDAC)**

<http://www.uel.ac.uk/student-services/supportingyou/disability.htm>

Telephone (Docklands): 020 8223 7611

Telephone (Stratford): 020 8223 4440

E-mail: [ddac@uel.ac.uk](mailto:ddac@uel.ac.uk)

### **English Language Centre**

<http://www.uel.ac.uk/elc/index.htm>

Telephone: 020 8223 2402 / 6253

E-mail: [elc@uel.ac.uk](mailto:elc@uel.ac.uk)

### **International Students Advice**

<http://www.uel.ac.uk/international/advice/index.htm>

Telephone: 020 8223 7611

E-mail: [isa@uel.ac.uk](mailto:isa@uel.ac.uk)

### **Pre-Entry Advice and Guidance Team**

<http://www.uel.ac.uk/partnerships/iag/index.htm>

Telephone: 020 8223 4270

E-mail: [advisors@uel.ac.uk](mailto:advisors@uel.ac.uk)

### **Security**

<http://www.uel.ac.uk/facilities/security.htm>

Telephone: 020 8223 5599 (Docklands)

E-mail: [secudl@uel.ac.uk](mailto:secudl@uel.ac.uk) (Docklands)

Telephone: 020 8223 4073 (Stratford)

E-mail: [secuwh@uel.ac.uk](mailto:secuwh@uel.ac.uk) (Stratford)

Telephone: 020 8223 3399 (Duncan House)

E-mail: [secudh@uel.ac.uk](mailto:secudh@uel.ac.uk) (Duncan House)

**Emergencies only - All Campuses - Tel: ext. 7771 (24 hrs access)**

### **Student's Union (UELSU)**

<http://www.uelunion.org/>

Telephone: 020 8223 7025 (Docklands)

Telephone: 020 8223 4209 (Stratford)



## 2. General Information

### i. *Academic Schools*

As a research degree student you will be enrolled and subsequently registered in one of our academic schools. Each school will provide you with a specific handbook detailing local requirements and expectations and details of discipline specific research skills training. In the case of Professional Doctorates, a programme handbook will be provided with full details of the assessment requirements and programme structure.

The expectation is that you will become a full member of the research community in your school and will take considerable responsibility for the direction of your studies. Attending as many research events and conferences as possible will provide important networking and social-learning opportunities in addition to updating your subject area knowledge. This will also count toward your research skills development.

The local oversight of postgraduate research degree matters is the purview of School Research Degrees Sub-committee (SRDSC), which is ultimately responsible for supporting you throughout your research degree. Your SRDSC meets regularly to consider applications that you and your Director of Studies will need to submit throughout the course of your degree. Your Director of Studies will provide you with advice about the preparation and submission of forms to register your research, to transfer your registration from MPhil to PhD and for your examination arrangements to be approved. Additionally, any changes to your registered degree including changes to your approved supervision arrangements or requests to suspend your studies will be considered by this body.

Details of the academic schools, their facilities and staff are available on their [websites](#).

### ii. *Library and Learning Services*

Our [Library and Learning Services](#) provide high quality academic skills and information services, alongside English language key skills learning support for all our students. There is a **Learning Resource Centre** on each campus which provides a wealth of resources including books, journals, online journals and DVDs that will assist you with your research.

You are entitled to use a range of other libraries both in the South-East region of the UK and nationally. UEL is also a member of the **SCONUL Research Extra (SRX)** borrowing scheme which allows our academic staff and research postgraduates from participating institutions to loan books from various campus participating institution libraries. This effectively means that you are able to borrow books from the majority of academic libraries in Britain and Ireland.

A full list of participating institutions can be found [here](#). SCONUL Research Extra cards can be obtained from the Learning Resource Centre issue desks.



As a research student you will have automatic access to UEL's computer network, with access to your UEL account following enrolment. This gives you access to our IT facilities including word-processing and spreadsheet packages, email and internet access and a range of electronic resources, including access to e-journals and databases.

### iii. ***Support for Students with Disabilities and Dyslexia***

Our University is committed to promoting genuine equality of opportunity for disabled people and to creating a learning, working and living campus environment in which everyone can achieve full participation. To enable us to give you all the support you need it is essential that you make yourself and your needs known to someone as soon as possible. For advice and guidance on this please contact the Disability and Dyslexia Service. Contact details are provided at the start of this handbook.

Further information on services and support is available via the Disability and Dyslexia Service [website](#).

### iv. ***Risk Assessment for PGR Fieldwork***

All staff and students at UEL have a clear duty to take care of their own health and safety, not to endanger that of others, and to co-operate fully with published health and safety arrangements.

You should take suitable and sufficient care to ensure your own health and safety as well as that of others. As such, you must abide by our rules and regulations and co-operate with your supervisors to enable them to fulfil their obligations. You must not interfere intentionally or recklessly misuse anything provided for health and safety assurance.

Schools are required to indicate where necessary, through the various administrative processes, that health and safety issues have been considered **before** you commence any lab or fieldwork (i.e. anything external to UEL premises).

Our Health and Safety and Field Work policies can be found [here](#).

Your supervisory team and academic school will provide you with guidance on the safety aspects relevant to your academic study and research.

Please note, if your proposed research involves travel overseas you will be required to submit an **Overseas Travel Risk Assessment**, which will be completed in consultation with your Supervisory Team and consequently endorsed by the Dean of School. This is then submitted for ratification by the Pro Vice-Chancellor International.



#### v. ***Ethics and Good Practice in Research***

All members of our research community at UEL have a duty to conduct their research in the most conscientious, responsible, ethical and publicly accountable manner possible. Our **Code of Good Practice in Research** and **Research Misconduct Policy** apply to all students and employees and detail our expectations in terms of the standards of integrity to be observed in pursuit of the research we support. Both of these documents are available on our [website](#).

If your research proposal involves recruiting human participants, you are required to submit an application to University Research Ethics Committee (UREC) for approval prior to the commencement of your research. **You should not commence recruiting participants for the proposed research until ethical approval has been obtained.**

The principal role of the committee is to represent the interests of participants involved in research projects. Our University regards the acquisition of written consent from participants prior to the commencement of research as vital. All research that involves groups of children and vulnerable adults as subjects or takes place on premises where children and vulnerable adults are present will also require Criminal Records Bureau (CRB) clearance. Application forms and guidance for University Research Ethics Committee (UREC) can be found at [here](#).

Research ethics and governance will be discussed as part of the Research Skills Training programme and additional workshops will be run throughout the year by the Graduate School.

#### vi. ***Funding and Employment***

Before coming to UEL you should have made arrangements to ensure you have the means to pay your tuition fees or have made arrangements for a sponsor or a UK Research Council to do so.

If you are thinking of applying for [UK Research Council](#) funding for your postgraduate programme, the Graduate School will be pleased to offer advice on the necessary procedures. If you have obtained funding for your studies please make it clear at the point of enrolment so that the correct invoice is prepared.

A list of opportunities in postgraduate funding and supplementary grants is [online](#).

If you receive external funding for your research degree there may be some obligations placed on you by these funding bodies. You should carefully read the conditions of the award and contact your Director of Studies if there is anything you are unclear about.

The Graduate School has purchased a license for the *Alternative Guide to Postgraduate Funding*. This has been produced to help you explore the funding opportunities available through the voluntary sector – such as through charities, trusts, foundations and independent bodies – for funding your fees, maintenance, research, travel and conference expenses. It is available to all prospective and current postgraduate students (taught and research) and staff.



The *Alternative Guide* is designed for students in a wide range of subject areas and includes step-by-step guidance to the whole funding process. It has been produced by Luke Blaxill and Shuzhi Zhou whose useful website can be found [here](#).

The *Alternative Guide to Postgraduate Funding* is now available on the Graduate School [website](#).

#### **vii. Teaching Opportunities**

You may be offered teaching duties within your school. Although this is a valuable source of income and experience it is not advisable to over extend any commitments to teaching if you wish to complete your research degree within the agreed timescale. 'Teaching duties' should be regarded as any teaching commitments of an on-going nature across a semester or academic year (e.g. seminar leader; module leader; sole, or main module lecturer). A 'one-off' guest lecture would not count as teaching duties in this context.

Our University is committed to supporting you and the students you teach in this activity. As a consequence if you are asked to undertake teaching duty at UEL, and have less than two years experience of teaching in Higher Education you will be required to enrol on the Teaching Skills for PGR Students workshop prior to undertaking any teaching. Details about this workshop can be found on the Graduate School website [here](#).

As an alternative, you may enrol on the [Lecturer's Development Programme](#) although, as the name suggests, this is primarily orientated toward newly appointed lecturers.

Additionally, you can also enrol for the [Post-Graduate Certificate in Learning and Teaching in Higher Education](#) but this is a major commitment and will almost certainly impact on your ability to pursue your research.

**If you have more than two years experience of teaching in Higher Education you need take no further action.**

#### **viii. Full-Time and Part-Time hours**

Full-time students are expected to devote **at least** thirty-five hours a week to their research. Part-time students will decide with their Director of Studies the number of hours per week that will be necessary.

#### **ix. Suspension of Enrolment or Registration**

Any period of suspension to your studies must be agreed in advance. Approved periods of suspension may commence only at the beginning of each academic semester, for periods from one semester up to a total of two academic years (*up to 12 months in the first instance with an additional 12 months permissible in exceptional circumstances where you will be required to*



*provide sufficient supporting evidence*). Suspensions up to twelve months are granted 'as-of-right' but only with the agreement of your Director of Studies.

**Any suspension beyond the initial twelve months, and up to the maximum of twenty-four months, must be regarded as exceptional. You will be required to provide a reasoned case explaining why the research will still be viable on your return from suspension which must be endorsed by your Director of Studies.**

Professional and statutory regulatory body requirements may make it impossible for you to take suspension. Please check with your Director of Studies.

If you are an international student on a student visa your request for suspension will not be authorised unless you have exceptional verifiable reasons and evidence of approval from the **International Office**. Any document submitted to support your request must be in English or must be accompanied by an authenticated translation into English. In addition, you must seek advice from the **International Students Advice Team** in the International Office, as suspension will have an impact on your student visa and eligibility to remain in the UK.

**Your SRDSC will check to ensure that approval has been given from the International Office before approving any period of suspension.**

**Please note, our University is legally obligated to notify the UK Border Agency (UKBA) as soon as an international student ceases attending their programme of study. For more information please refer to our *Postgraduate Research Student Attendance Policy* detailed herein.**

#### x. ***International Students Advice (ISA)***

The ISA team is regulated by the [Office of the Immigration Services Commissioner \(OISC\)](#) to provide immigration advice and services on a range of issues for international students, such as student visas, working in the UK (during and after studies), rights of dependants and other similarly related issues.

If you are an international student, you will be required to comply with the terms of your student visa under the new immigration [Points Based System](#). For example, you must maintain regular contact with your supervisors and must not work more than 20 hours per week during term time. Do not take any action which might affect your student visa before seeking advice from the ISA team as it may have serious consequences for your stay in the UK and for any tuition fees already paid. Please take your passport and other relevant documents with you to any meeting with the ISA.

International advice drop-in sessions are held at both campuses of UEL. Check the ISA website for further details: <http://www.uel.ac.uk/international/advice/index.htm>. Alternatively email [isa@uel.ac.uk](mailto:isa@uel.ac.uk).



#### **xi. *Withdrawal***

You should notify your academic school, in writing, if you wish to withdraw from your postgraduate research degree programme. The academic school is responsible for then notifying Student Records, giving the last date of attendance and the reasons for your withdrawal. It is important that the reasons for withdrawal are included in the notes on DELTA and the relevant officers in schools must ensure that Student Records are provided with this information.

It is normal practice to withdraw at the point of annual review or when they fail to adhere to the attendance policy for postgraduate research students. It is also permissible for students to be withdrawn outside of the annual review and attendance requirements. If an academic school wishes to withdraw a student from a postgraduate research degree programme, the request should be forward by the Director of Studies to RDS outlining the reasons for the decision, with supporting documentary evidence.

#### **xii. *Documentation in English***

There may be times during your studies where you are required to submit documents in support of an application you have made to our University. For example, you may wish to request an extension to your registration or if you are requesting entry with advanced standing. In such cases, any document **must** be in English or **must** be accompanied by an authenticated translation into English.



### **3. Quality Assurance - PGR Degrees at UEL**

The Code provides a framework for the delivery of research degree programmes at UEL. Adherence to the Code is mandatory, with the processes described herein being crucial to the effective delivery of our postgraduate research degrees. The Code has been developed to reflect our desire to offer a high quality student experience that incorporates best practice as identified by the [Quality Assurance Agency \(QAA\)](#), the [Higher Education Funding Council for England \(HEFCE\)](#) and various other funding bodies.

UEL ensures that the research degrees it awards are equivalent in quality and standards to similar degrees at other UK HEIs and the Code is one of the ways in which we achieve this. The Code will be reviewed annually by QAE and be made available online for all staff and students to download.

You should ensure the Code is read alongside Part 9 of the *Manual of General Regulations*. If there are any contradictions between anything in the Code of Practice and Part 9, the latter will take precedence.

#### **i. Quality Assurance Framework**

Academic Board is ultimately responsible for assuring and enhancing the quality of UEL's research degree provision but in practice this work is devolved to the RDS, SRDSC and QAE.

#### **ii. SRDSC**

SRDSC is responsible for:

- ensuring the interests of research degree students are protected and that the standards of awards are maintained.
- ensuring that research students and supervisors receive adequate advice and guidance in the preparation of all documentation they may be required to complete.
- receiving and considering any proposal or request from a student or supervisor concerning the various stages of our research degree programmes and give, or withhold, an unconditional recommendation for approval.
- managing the process of annual student review and to receive individual review reports and any associated action plans.
- receiving and approving an annual school review of postgraduate research programmes.
- advising the Dean of School and School Board on any matters concerning postgraduate research programmes in the School.



- receiving and considering the minutes and recommendations of such sub-groups.
- submitting to the RDS recommendations for approval.
- submitting to RDS confirmed minutes of meetings.

### iii. **RDS**

RDS is responsible for:

- ensuring the interests of research degree candidates are protected and that the standards of awards are maintained across our University.
- receiving, on behalf of *Quality and Standards Committee*, recommendations from *SRDSCs* regarding postgraduate research candidates.
- receiving the confirmed minutes of each *SRDSC* meeting.
- receiving and considering reports and data to monitor and evaluate the success of our research degree programmes.
- ensuring that our research degree regulations and associated procedures recognise and promote relevant precepts and codes of practice of external agencies.
- advising *Quality and Standards Committee* on policy and strategy concerning our postgraduate research programmes.
- reporting to *Quality and Standards Committee* on the robustness and effectiveness of procedures at *SRDSCs*.

**RDS exercises institutional oversight of activity at SRDSC to ensure that our processes are effective and robust.**



#### **iv. Research Degrees awarded by UEL**

The research degrees awarded by UEL are as follows -

- *Master of Philosophy (MPhil)*
- *Doctor of Philosophy (PhD)*
- *Master of Philosophy (MPhil) by Publication*
- *Doctor of Philosophy (PhD) by Publication*
- *Named Professional Doctorates*
- *Higher Doctorates*
- *PhD (Europe)*

The standards and learning outcomes of the awards are detailed in Part 1 of the *Manual of General Regulations*.

The Code does not apply to Higher Doctorates, the regulations for which are contained in Part 9 of the *Manual of General Regulations*.

#### **v. How the Administrative Process Works**

The PGR Administrative Process is core to our overall activity and an understanding of this will help you plan timely dates for the submission of documents for approval throughout your postgraduate research programme. You will need to submit applications for approval of the following:

- Application for Approval of Registration
- Application to Change Mode of Study\*
- Application to Change Thesis Title\*
- Application for Prospective Suspension of Studies\*
- Application for Retrospective Suspension of Studies
- Application for an Extension to the Registration Period\*
- Application to Change Approved Supervisory Arrangements
- Application to Transfer from *MPhil* to *PhD* and from *PhD* to *MPhil*
- Application to Change to Write-Up Status\*
- Application for an Extension to Write-Up Status\*
- Application for Approval of a Shorter Registration Period
- Application for Approval of Examination Arrangements

(\* These applications do not need to be submitted to RDS and should be processed directly following approval from SRDSC. Please note that periods of extension, suspension and write-up status are not indefinite and SRDSC should ensure all approved periods are congruent with those specified in Part 9 of the *Manual of General Regulations*.)



You should complete the document in consultation with your Director of Studies and then send this to the relevant member of staff within your school. The documents will then be submitted to SRDSC which considers them and, where required, makes recommendations for approval to RDS.

QAE will notify the relevant officer within the school of all decisions made in relation to applications at RDS. Your academic school will then notify you and your Director of Studies on the outcome of your application.

While we try to minimise the frequency of changes to the content and layout of the forms, inevitably some changes are necessary from time to time. All forms carry a version number and date.

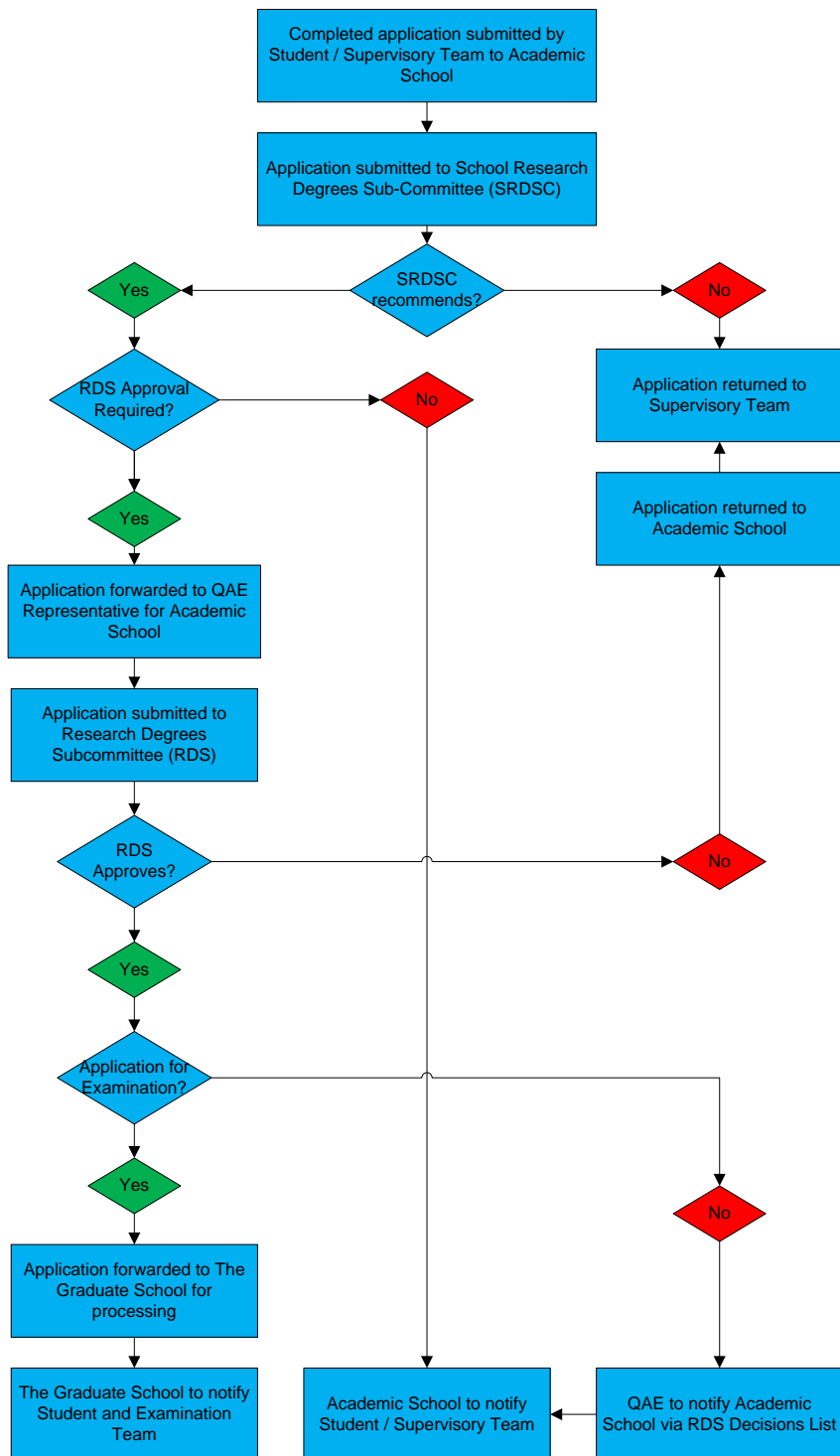
All application forms (except those relating to the examinations process) should be downloaded directly from the QAE [website](#).

For documents relating to the examinations process please refer to The Graduate School [document library](#).



# Postgraduate Research (PGR) Administrative Process

## Approval Process for PGR Applications – School Research Degrees Sub-Committee (SRDSC) and Research Degrees Subcommittee (RDS)



The dates of **SRDSC** meetings can be obtained from the relevant member of staff in your academic school.

The calendar for **RDS** for the academic year 2011-2012 is below:

<b>21/09/2011</b>	<b>2pm - 5pm</b>
<b>26/10/2011</b>	<b>2pm - 5pm</b>
<b>23/11/2011</b>	<b>2pm - 5pm</b>
<b>14/12/2011</b>	<b>2pm - 5pm</b>
<b>25/01/2012</b>	<b>2pm - 5pm</b>
<b>29/02/2012</b>	<b>2pm - 5pm</b>
<b>28/03/2012</b>	<b>2pm - 5pm</b>
<b>25/04/2012</b>	<b>2pm - 5pm</b>
<b>30/05/2012</b>	<b>2pm - 5pm</b>
<b>27/06/2012</b>	<b>2pm - 5pm</b>



## 4. Admissions

### i. *Selection Procedures*

Our University's regulations set out the admissions requirements for candidates. Schools will ensure that their admission procedures:

- involves the judgment of at least two members of staff, at least one of whom is an academic in our University, who have received staff development in the selection and admission of research degree students;
- includes mechanisms to assess whether international applicants have or can acquire the appropriate level of English language proficiency;
- include mechanisms for assessing student qualifications and preparedness reflecting professional or other work experience in cases where admissions decisions are based on experiential or prior-certified credit;
- ensure that at least two members of staff are available to act as indicative supervisors from the point of enrolment and that supervision is adequate and likely to be sustained;
- ensure that the research topic is viable, that the research environment is suitable and that sufficient resources are available to ensure the project can be completed in a timely fashion;
- ensure that applicants with disabilities are not disadvantaged or debarred by the criteria and procedures used for selecting students and that appropriate support is offered and available at interview;
- demonstrate equality of opportunity for all candidates.

### ii. *Offers of Admission*

Offers of admission will be made by the Admissions Office or the International Office as appropriate once the completed application form has been received from the school. Two independent references must be received for all applications.

The offer of admission from the Admissions Office or the International Office will include details of:

- programme of study, the normal duration of study, and expected total fees, including any extra charges;
- indicative supervisory arrangements and the name of the indicative Director of Studies;
- references to the institutional regulations, research misconduct policy, induction arrangements, handbook and other relevant information for a research degree programme.

Our University has two intake points, one in September and the other in February. You may only start your programme within the enrolment periods indicated by our University.



In exceptional circumstances, you may be allowed to commence your enrolment with our University at a point other than September or February. In such situations, the formal date of enrolment will be the start of the semester in which you enrol.

**Please note, this will impact on the time available to you to complete registration of their research project. Students and Directors of Studies should give serious consideration to this consequence before they request permission for late enrolment.**

### iii. *Students Transferring from another Higher Education Institution*

The following factors should be taken into account by academic schools in addition to normal admissions requirements, when deciding whether to approve an application on the basis of a transfer from another HEI.

- (a) *Are the grounds for transfer acceptable?*
- (b) *Has the applicant already upgraded their registration from MPhil to PhD?*
- (c) *What period of advanced standing is the applicant requesting?*
- (d) *What skills development will the student be required to undertake during the remainder of their programme, in conformity with the requirements set out in section 10 of the Code.*
- (e) *Has the bona fide status of the previous institution been verified?*

If you have already upgraded your registration from MPhil to PhD you may be offered a direct entry PhD place. SRDSC should consider very carefully any claim for further advanced standing and should ensure there is documented evidence to support it.

If you are still at the MPhil registration stage it is not possible to be offered a direct entry PhD place.

**All transfer students are required to enrol for a minimum of 12 months in full-time mode, or 24 months in part-time mode.**

### iv. *Enrolment*

Instructions on how to enrol will be sent by the Admissions and International Office. Enrolment entitles you to the use of all normal facilities at UEL and supervision for your research degree. **Anyone who wishes to undertake a research degree must be enrolled.** It is not possible to be admitted into a school and commence a programme of study until the appropriate fee has been paid and enrolment has been confirmed by the issue of a student card. Enrolment must be completed at the beginning of each academic year or semester of attendance.

First year students are expected to meet with their indicative supervisors as soon as possible after enrolment to clarify their research topic, identify skill training needs, agree a preliminary schedule and formulate a research proposal in preparation for registration.



## **5. Policy on Split-Site Arrangements for MPhil/PhD Students Domiciled Outside the UK**

Candidates for research degree programmes who are resident overseas may not always be able to commit themselves to extended periods of attendance at UEL. The Split-Site arrangements are intended to address the needs of such candidates while maintaining the quality and academic standards of our University's research degree programmes.

Part 9 of the *Manual of General Regulations* and this section of the Code apply to students registered under Split-Site arrangements.

### **i. *Definition of Split-Site***

If you are registered for a Split-Site MPhil or PhD at UEL you will be a research student who typically intends to undertake the majority of your research at a higher education or research institution abroad. Unlike other MPhil or PhD students, your application for admittance as a student of our University will be considered by the relevant SRDSC.

The SRDSC will be responsible for assessing the appropriateness of the academic facilities overseas, the adequacy of the arrangements for your proposed access to those facilities, the potential partnership benefits to the school from entering into such an arrangement and the evidence required before deciding whether or not to accept your application on a Split-Site basis. A report identifying the suitability of these aspects of the application will be attached to the request for admittance considered by SRDSC.

In exercising a judgment regarding the suitability of the arrangements the Chair of the SRDSC may wish to seek the opinion of colleagues in QAE.

### **ii. *Eligibility and Entry Requirements***

SRDSC have the discretion to specify the eligibility and entry requirements for candidates applying under the Split-Site arrangements, subject to the minimum requirements set out in Part 9 relating to academic qualifications and English language competence.

### **iii. *Full- Time and Part-Time Study***

You may be enrolled on a full-time or part-time basis, in line with normal procedures. You may change enrolment status in accordance with the provisions contained in Part 9.

### **iv. *Periods of Study***

You will be subject to the registration periods specified in Part 9.



#### **v. *Periods of Attendance at UEL (study visits)***

Your total period of visits to UEL will normally be between 4 and 12 months over the course of your research degree programme. The precise attendance requirements will be determined by your SRDSC and indicated to you at the time of acceptance for your degree.

In deciding on these requirements, SRDSC will have regard to the responsibilities of your Director of Studies and other supervisors for your supervision, support and training. SRDSC will have discretion in deciding how best to carry out these responsibilities, which will include by attendance at UEL, by electronic means (e.g. email or VOIP, Skype etc.), by attendance at some other location agreed with the candidate or by visits from school or University staff to your country of residence.

You will be required to make an initial visit of 3-4 weeks on first enrolling in order to attend induction and subject specific skills training. You will also need to be able to conform to the University's requirements for research skills development which are set out herein.

The timing and length of other periods of attendance will be decided by your SRDSC, following discussion with your Director of Studies, and will be set out in a written agreement signed by yourself and your Director of Studies forming part of the registration document. Any subsequent changes to the schedule of visits must be agreed and recorded in a signed agreement.

#### **vi. *Access to Appropriate Academic Facilities***

Your school will need to be satisfied that you will have adequate access to appropriate academic and other facilities while not in attendance at UEL. Schools will need to exercise academic judgment in deciding what constitutes adequate access and what are appropriate academic and other facilities for the research; taking into account your discipline and research topic.

Normally, access will require you being employed by or registered with a local institution providing academic or other facilities (e.g. a University, research centre or company).

Normally appropriate academic or other facilities will include but not be limited to libraries, laboratories, computers and desk space.

You will need to provide a letter from an appropriate person in authority at the local institution confirming your right of access to appropriate academic or other facilities and to whom our University may make any necessary further enquiries.

#### **vii. *Fees***

Tuition fees for candidates registered under Split-Site arrangements will be published in the Fees Schedule and on our website.



Schools may set a bench fee to cover the additional costs of a specific research project that cannot be met by the tuition fee (e.g. special equipment, materials or fieldwork). Any such bench fee should be indicated at the offer stage or as soon as possible thereafter.

**The RDS will receive for approval recommendations from SRDSC regarding Split-Site students.**



## 6. Attendance Policy

The attendance policy applies to international, home and EU students. In the case of international students, the [UK Border Agency \(UKBA\)](#) requires our University to report any student who does not meet our attendance policy requirements (i.e. expected interactions/contacts). An 'expected contact' is not closely defined and [Universities UK \(UUK\)](#) have secured agreement with UKBA that it is up to HEIs to determine what an 'expected contact' may be. This will differ between student types and programme. For instance, a contact point for an undergraduate student would differ in nature and frequency than one for a PhD student.

For the purposes of your research degree, UEL 'expected interactions/contacts' are understood as (the list is not exhaustive):

- An interaction with your Director of Studies or some other member of your supervisory team. This could be face-to-face, by email, telephone, video-communication via the internet, text, attendance in a laboratory or other University location, submission of draft sections of the thesis. **All interactions but must be evidenced.** That is, some tangible record of the interaction must be preserved that can be produced as evidence should it be required.
- An interaction with our University. This could be enrolment, payment of fees, an annual review panel, a PhD upgrade panel, a viva but again must be an **evidenced interaction.**

It will be the responsibility of your Director of Studies to proactively monitor your attendance through relevant interactions. If you, regardless of your fee paying status, miss a scheduled interaction with your Director of Studies or another member of your supervisory team without communicating a verifiable reason:

- Within 10 working days the Director of Studies will attempt to make contact with the student to ascertain their situation and to inform them that if they fail to reengage with their studies this fact will be communicated to the UKBA.
- If the Director of Studies receives no response within a further 10 working days they will notify the Research Degrees Leader and / or Research Administrator in the School (as applicable) that the student is not in attendance. They will notify Student Records that the student should be withdrawn.
- If the Director of Studies receives a response from the student they will schedule a face-to-face meeting, or a video/telephone conversation to occur within 10 working days of the response. If the student fails to attend the meeting or misses the scheduled conversation the Director of Studies must notify the Research Degree Leaders and / or Research Administrator within the School (as applicable) immediately. They will notify Student Records that the student should be withdrawn.



## **7. Academic Referencing (*Cite Them Right*)**

As of the academic year 2011/12 all written academic assessments submitted for examination must conform to the standardised Harvard Referencing System based on *Cite Them Right* (8<sup>th</sup> edn.).

The Harvard referencing style, based on *Cite Them Right*, is now the standard at UEL for all Schools with the exception of the School of Psychology which uses the APA system.

***You must note carefully that if your thesis, or any other form of submission, is not referenced as outlined by CITE THEM RIGHT, your thesis will be returned to you with referencing as a minor amendment.***

Library and Learning Services have provided an e-copy of the text, accessible via the web at the following [link](#).

### **How to access Cite Them Right off and on campus**

- Open the University of East London [website](#).
- Click on **UEL DIRECT**
- Type in your network username and password e.g. **u0256978 and Library1**
- Once you have successfully logged into **UEL Direct**
- Click on **UEL PLUS**
- From **UEL PLUS**, you have two options to read the book

### **Option 1**

#### **Under Course List**

- Click on **Academic Integrity – Resources for students**
- Click on **Useful links**
- Click on **Cite them right.**
- The publication will load

**Pears, R. and Shields, G. (2010) *Cite them right: the essential referencing guide*. 8th edn. Basingstoke: Palgrave Macmillan (Palgrave Study Skills)**

### **Option 2**

#### **Under Campus Bookmarks**

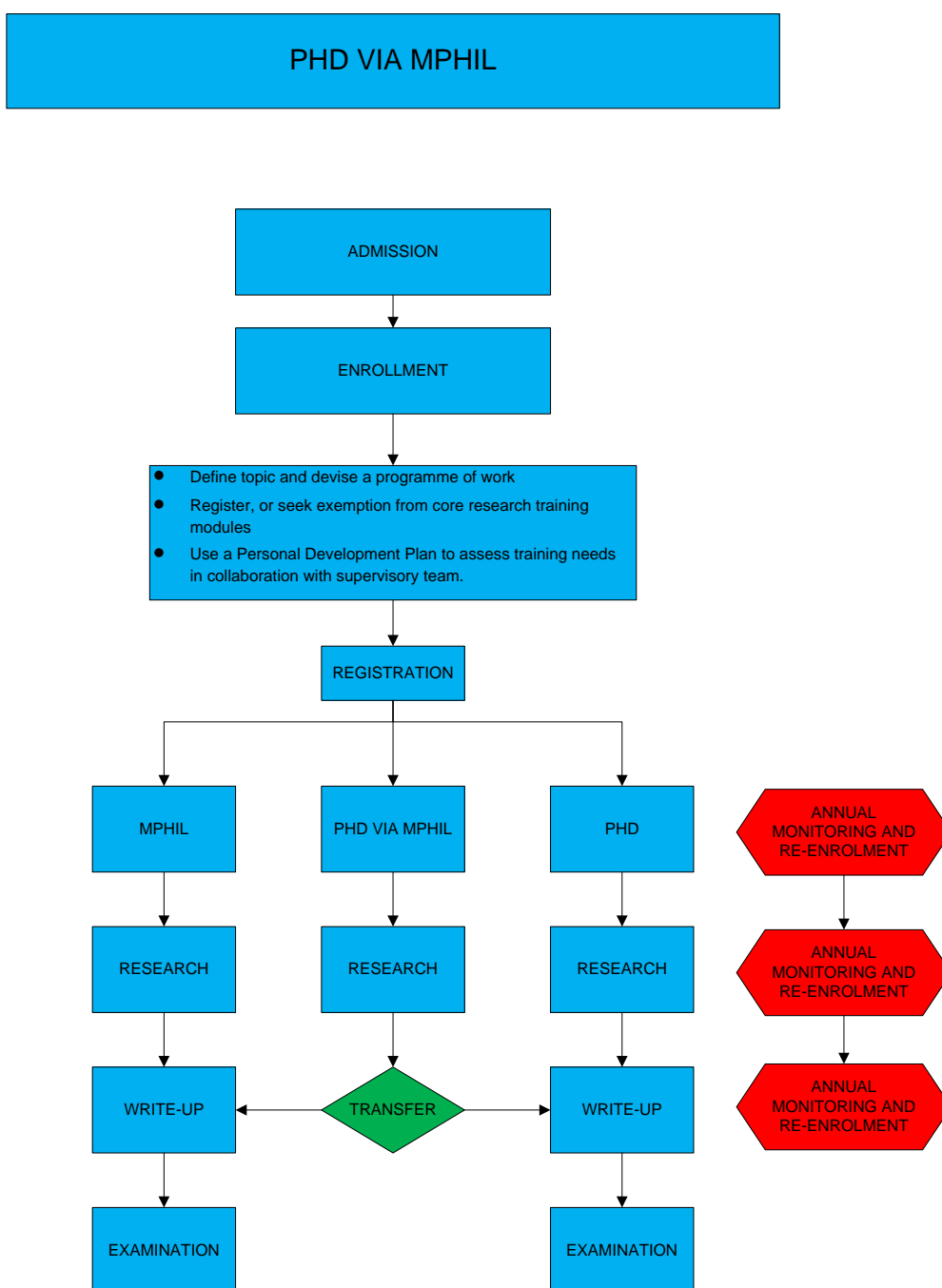
- Click on **Cite Them Right**

## **8. PGR Progression at UEL**



**i. MPhil/PhD**

This section will outline the various stages through a research degree. The flow chart outlines the major events that an MPhil/PhD student will pass through to successfully complete the research degree. See below for more detailed guidance on each milestone.

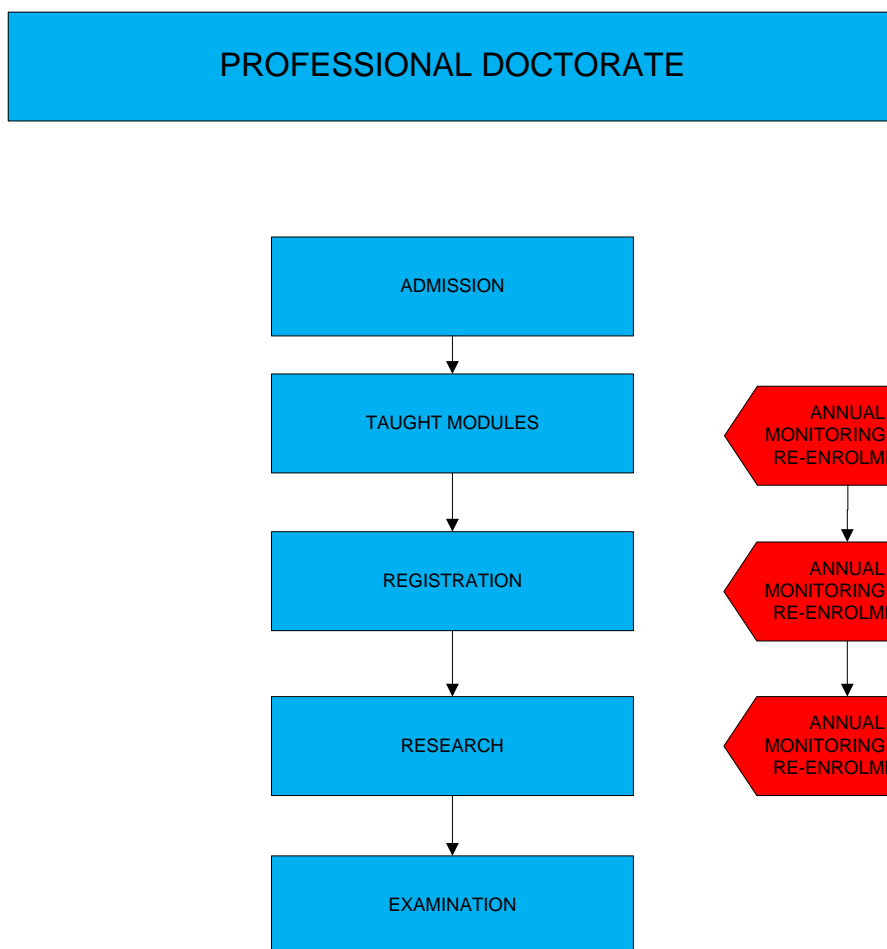


As indicated above, there are three possible routes for an award – MPhil, MPhil with possibility to transfer to the PhD, or PhD direct. PhD Direct students must have completed an MPhil, or equivalent, prior to enrolling.

**ii. Professional Doctorates**

This section will outline the various stages through the Professional Doctorate research degree. The flow chart outlines the major events that a Professional Doctorate student will pass through to successfully complete the degree. Please note, this only relates to the research element of the Professional Doctorate programme.

It should also be noted that some Professional Doctorates do not have write-up periods. Please speak to your Programme Leader for more details.



**9. Supervision**



### **i. *The Supervisory Team***

As a research student at UEL, you will be assigned a supervisory team composed of a Director of Studies as the main contact and one or two other supervisors. The role of your supervisory team is to collectively provide academic and pastoral support and guidance to you throughout your degree up until your completion.

The regulations specify that supervisors should previously, and collectively, have supervised at least **two** students through to successful completion.

Additionally, all academic staff appointed as supervisors are required to attend a mandatory staff development workshop within **six months** of being appointed.

### **ii. *Supervisory Maxima***

A supervisor may supervise up to 6 full-time equivalent (FTE) research students at any one time using the following formula:

- a) *One part-time student = 0.5 FTE for a Director of Studies***
- b) *One part-time student = 0.25 FTE for a supervisor***
- c) *One full-time student = 1.0 FTE for a Director of Studies***
- d) *One full-time student = 0.5 FTE for a supervisor***

The maximum number of students (head count), whether full- or part-time, that may be supervised by an individual as either Director of Studies or supervisor will be 9. This will be pro-rata for part-time members of staff.

For those who have no previous experience of supervising a student to completion the tariffs are 3 FTE and 5 head count.

The maximum head count can only be exceeded if the Dean/Director of the relevant School or Service confirms to the SRDSC that the quality of the student's learning experience will be protected through an adjustment of the Academic Workload Allocation Model (AWAM) loadings for the appropriate supervisor(s).

The SRDSC will be responsible for ensuring that the supervisory team conforms to the requirements in the regulations and have the appropriate subject expertise. The Director of Studies will also be responsible for agreeing the respective responsibilities and roles of the supervisory team. The Director of Studies is also responsible for ensuring that progress is reviewed by the supervisory team at appropriate points in the academic year.

### **iii. *Emeritus Professor***



Emeritus Professors are eligible to be Director of Studies, or supervisors.

#### **iv. *The Responsibilities of your Director of Studies***

Your Director of Studies is expected:

- to give guidance about the nature of research and the standard expected, about the planning of the research programme, about literature and sources, about attendance at taught modules and to encourage you to keep abreast of developments within your discipline;
- To ensure you are aware of the importance of keeping appropriate records of the outcomes of meetings and related activities, including a record of record of regular, 'routine' meetings with supervisors;
- To ensure a suitable and sufficient system is in place to keep record of all supervisory meetings;
- To draw your attention to your rights and responsibilities. This will include making you aware of the regulations governing research degree programmes, our Health and Safety framework, Code of Good Practice in Research, Research Misconduct Policy, data protection policy and any issues arising from intellectual property and authorship;
- To give detailed advice on the necessary completion dates of successive stages of the research degree programme and agreeing objectives for each stage to ensure that the thesis or other form of submittal may be submitted within the scheduled time;
- To provide advice and guidance on writing up the research, requesting written work as appropriate and returning work within an agreed timetable. To provide regular feedback and constructive criticism and to review the complete draft of the work prior to submission;
- To give guidance to you on the arrangements for ensuring that all PGR students identify and meet their needs for research skills development, to support you in identifying and meeting your research skills developmental needs and to advise on developmental opportunities which both the host school and UEL more broadly needs to make available to PGR students;
- To assist you with the development of personal transferable skills;
- To encourage you to discuss and present your work at staff or graduate seminars and to engage with your peers;



- To encourage and assist you to publish the results of your research and to present it at scholarly conferences;
- To ensure that the academic school is aware of cases where consideration may need to be given to the protection of intellectual property rights and/or where confidentiality of the thesis may need to be considered;
- To advise you on matters of confidentiality and/or ethical considerations relating to your research degree programme;
- To advise you on, and where necessary complete, the documents associated with the various stages of your programme and for ensuring the documents are submitted in a timely manner for consideration by the SRDSC and RDS;
- To keep under review your progress, to provide feedback and to ensure that you are formally reviewed annually;
- Where necessary, to inform you if the progress and the standard of your work is unsatisfactory and agree a plan of action to address those issues;
- To inform SRDSC should you elect to withdraw from your research degree programme;
- To ensure that, should a major change in the research project occur, appropriate adjustments are made to the supervisory arrangements;
- To recommend examiners for your thesis to SRDSC at least six months before submission of your final thesis and following discussion with you;
- To liaise with your examiners in the practical organisation of your oral examination;
- To prepare you, as far as possible, for your oral examination and attend the oral examination if you desire them to be there;
- In cases where a thesis is referred for resubmission following examination, to advise you on the necessary revisions.

**Continuity of supervision should be maintained throughout the research degree programme. However, if unforeseen difficulties do arise any change to the supervisory team confirmed at registration must be formally requested through the SRDSC.**



#### **v. *Responsibilities of Supervisors***

The role of the second supervisor may only be that of a back-up to the Director of Studies, in terms of availability for you when your Director of Studies is absent, and (where relevant) of supplying complementary expertise, such as in specialised knowledge of a particular technique or sub-area of study. It is not normally the function of the second supervisor to offer an alternative approach to your main thesis topic.

Your second supervisor should meet with you shortly after your arrival (possibly at a joint meeting with your Director of Studies). They should be kept informed of your progress and should be fully involved in your annual reviews. In some cases, although your Director of Studies is the responsible person, your day to day supervision may be a duty of your second supervisor. In this case, it is essential that the position of your supervisor(s) is regularised, agreed and understood by all parties: you, your two supervisors and **advisor** (where applicable).

The indicative supervisory arrangement is normally chosen at the point of admission. The Director of Studies and second supervisor have equal roles and responsibilities with respect to your supervision, although it is normally the Director of Studies task to deal with the administrative aspects of supervision.

#### **vi. *Responsibilities of Advisors***

You will be assigned a minimum of two supervisors, one of whom will assume the role of Director of Studies. Where the use of external expertise is needed but the individual(s) cannot act as a supervisor, they may hold the status of an advisor. Also, the supervision team must have knowledge of your subject area and/or theoretical approach to be applied. If your work goes significantly outside the supervision team's field, the supervisors and the School should be responsible for finding specialists either inside or outside our University who could be appointed as an advisor. Recommendations should be made from the SRDSC to the RDS on the appropriate forms.

Like the second supervisor, it is not normally the function of the advisor to offer an alternative approach to your main thesis topic. The advisor is there to impart specialist knowledge and the supervision team should meet and identify roles and responsibilities.

Therefore, the substantive role of the advisor is to provide specialist support and knowledge on specific areas of the research. However, that should normally be done in an organised and agreed way by the supervisory team.

#### **vii. *The Responsibilities of the Student***

A positive working relationship with your supervisory team is central to the successful progression of your research degree programme and you must take responsibility for your conduct and regular contact with your supervisory team. In addition, you are responsible for:



- Accepting responsibility for your own enrolment, continued learning and research activity and ensuring your continued candidacy for the degree;
- Acting as a responsible member of UEL's academic community and ensuring that you are familiar with the relevant aspects of our health and safety framework and our academic rules and regulations;
- Ensuring that you are familiar with the PGR Code of Practice, our Research Misconduct Policy and that your research has gained any necessary ethical clearance;
- Making appropriate use of any teaching and learning facilities and training opportunities made available by Schools, the Graduate School and external providers;
- Discussing with your supervisors your skills training needs and agreeing a regular schedule of meetings;
- Providing adequate explanation of any failure to attend meetings and/or meeting any other commitments;
- Maintaining the progress of your work in accordance with the stages agreed with your supervisors including, in particular, the presentation of written material as required in sufficient time to allow for comments and feedback;
- Ensuring that any relevant change in your circumstances that might require amendment to your registered research degree programme is brought to the attention of your supervisory team and, in turn, your SRDSC;
- setting and keeping to timetables and deadlines, including planning and submitting work as and when required and generally maintaining satisfactory progress with your programme of research;
- keeping a suitable and sufficient written record of supervisory meeting and interactions.

#### **viii. *The Responsibilities of the Dean of School***

Your Dean has overall responsibility for research students in your School, although they may delegate the day-to-day oversight to the Research Degrees Leader, an Associate Dean or a senior colleague.



## 10. Research Skills Development

UEL is committed to supporting your personal, professional and career development. The support provided comprises a mixture of discipline-specific provision offered at the School level and generic or interdisciplinary provision offered at the institutional level, managed by the Graduate School.

A full set of relevant documents is available on the Graduate School [website](#).

This commitment reflects UEL's recognition that the purpose of completing an MPhil or PhD goes beyond completing a thesis demonstrating ability to undertake research which produces additions to knowledge. It also includes ensuring that you become fully professionally qualified to undertake post-thesis research in a wide range of research settings, not just those in academia.

Research skills development provision at UEL is based on the [Researcher Development Framework \(RDF\)](#) published by Vitae, the national organisation that supports the development of doctoral researchers and research staff in the UK.

The RDF describes the knowledge, skills, behaviours and personal qualities of researchers, and encourages them to aspire to excellence through achieving higher levels of development. It is structured in four "domains", which encompass what researchers need to know to do research, how to be effective in their approach to research, when working with others, and in contributing to the wider environment.

- **Domain A: Knowledge and intellectual abilities** – The knowledge, intellectual abilities and techniques required to do research.
- **Domain B: Personal effectiveness** – The personal qualities and approach to be an effective researcher.
- **Domain C: Research governance and organisation** – The knowledge of the standards, requirements and professionalism to do research.
- **Domain D: Engagement, influence and impact** – The knowledge and skills to work with others and ensure the wider impact of research.

These skills may be present on commencement, explicitly taught, or developed during the course of the research.

For more information about Vitae and the Researcher Development Framework, see [www.vitae.ac.uk](http://www.vitae.ac.uk) and [www.vitae.ac.uk/rdf](http://www.vitae.ac.uk/rdf).

UEL's research skills development provision is reviewed on a regular basis by the RDS and the Graduate School, and enhanced as appropriate.



### **i. *Research Skills Development Plan***

In each year of study, you must compile and fulfil an annual plan of research skills development, based upon an analysis of your research skills developmental needs. The Graduate School website provides access to a pro-forma agreed by Academic Board for recording the contents of research skills developmental plans.

The plan must include a minimum amount of participation in research skills development events and opportunities, related to the needs revealed in the analysis.

Both the analysis of developmental needs and the research skills development plan must be compiled and validated in discussion with your supervisors.

### **ii. *Research Skills Developmental Needs Analysis***

At the outset of your research degree programme and annually thereafter, with help from your Director of Studies, you will be responsible for undertaking a developmental needs analysis of your research skills. This involves considering your previous experience, identifying what level of research skills you have acquired so far and deciding what skills training is required in the first year and subsequent years. For example, if you are moving into postgraduate research straight from your undergraduate degree you are unlikely to have the research skills required at the postgraduate level. On the other hand, a more mature student, who has undertaken research at Master's level or in the workplace, may already be well equipped for the first year of doctoral study.

The analysis of developmental needs must not be restricted to consideration of what is essential to completion of your research project, or writing of the thesis. Although these are important issues, the aim is to achieve a broad range of competence in your research skills so that in completing an MPhil/PhD you will be able to access a career in research whether inside or beyond academia.

The analysis is also not designed to cover assessment of needs for becoming an effective academic member of staff. Although this is, again, an important issue for those who have academic aspirations, as the focus is on research skills acquisition.

### **iii. *Opportunities for Acquiring Research Skills***

Some students will find that the process of conducting research will itself provide important experiential opportunities for acquiring research skills.

However, it is recognised that much skills acquisition requires formal developmental training and the ability to profit from experiential learning itself will often depend upon experience of some form of preparatory training.



UEL regards its duty to provide relevant research skills developmental opportunities as critical and makes such provision available in two different ways.

You have the right to expect help to ensure that your needs are both comprehensively identified and satisfied at UEL.

The Graduate School offers a Researcher Development Programme (see below) designed to afford you suitable opportunities to acquire key generic and interdisciplinary research skills as well as broader transferable skills at different stages of their research training.

Discipline-specific research skills training opportunities are the responsibility of your academic school.

If you started your MPhil/PhD programme prior to September 2011, you may have already completed, in whole or in part 2 core modules from the UEL MRes programme in generic research skills. These were designed to provide basic research skills training for those who needed it and so some students were able to seek and obtain exemption from the requirement to complete these.

Neither the students who completed the modules nor those who were exempted are absolved from the new duty to complete an appraisal of their ongoing research skills developmental needs, write an annual research skills development plan and complete appropriate research skills training in each year of their study programme. The duty to support and validate the needs analysis, the skills development plan and fulfilment of needs agreed falls upon supervisors.

One of these core modules (**Research Preparation and Planning**) will be available during Semester A of 2011/12 for those students who have already completed the other core module (**Understanding Research Processes and Contexts**).

It may also be suitable for newly-enrolled MPhil/ PhD students where training needs analysis evidences its value.

#### **iv. *Researcher Development Programme (RDP)***

The Graduate School offers a range of workshops and online courses in research skills, which you will find useful to fulfil your research skills development plan as you progress through your studies.

The **Researcher Development Programme (RDP)** covers generic and interdisciplinary research skills as well as “transferable skills” such as project management in the research environment, academic writing skills and how to make effective presentations at conferences.

These workshops and courses are described as “optional” in the sense that not every student’s research skills developmental plan will indicate a need to attend all of these but they become



mandatory in situations where research skills needs analysis and related research skills development plans indicate that they are necessary.

The content of the programme of workshops and online courses is kept under review to ensure that the identified needs of students are being met.

For details of this year’s programme of workshops and the online courses available, please see the [RDP](#) webpage.

**v. Progress planner**

Some academic schools may encourage you to make use of the electronic Progress Planner that is available on UEL Plus, our virtual-learning environment. This web-based package enables you to record meetings with your supervisors, development activities undertaken and so on. Your Director of Studies will advise you how to make best use of the Progress Planner.

<b>Who</b>	All students, unless exempted
<b>When</b>	Registration in September or February of each academic year.
<b>Where</b>	Information on the venue and times for classes can be sought from the Graduate School
<b>How</b>	You should discuss your research skills needs with your Director of Studies.
<b>Why</b>	To ensure you are equipped with the necessary research skills training to successfully complete your programme.  Also to obtain the minimum level of research competence sufficient for you to become an independent researcher after completing your PhD.



## 11. Registration of the Research

All research students are subject to two distinct processes:

- a) **Enrolment** - as students via UEL Direct
- b) **Registration** - for a particular research degree.

The two processes are separate but complementary.

Registration is the formal process through which you are placed on a specific programme of study leading to the award of a research degree.

Normally the date of registration is the initial date of enrolment for the MPhil/PhD programme. The process of registration should be completed within six months of enrolment for full-time and within twelve months for part-time students.

For Professional Doctorate students the time between enrolment and registration will vary. Please check with your Programme Leader.

Registration is granted for a fixed period of time which relates to the mode of study (part time or full time) and the programme for which the student is registered (MPhil, PhD via MPhil, PhD Direct, PhD by Published Work, Higher Doctorate or Professional Doctorate).

Your registration must be consistent with your enrolled status (i.e. part-time enrolment = part time registration, full-time enrolment = full-time registration).

Registration is a serious event and you should ensure your application is in good order before you submit it. The outcomes of registration can be that:

- The application is approved and you are registered;
- You are asked to amend and re-submit the application.

The registration periods are in Part 9 of the *Manual of General Regulations*. Those for Professional Doctorates may vary from what is shown. Please contact the relevant Professional Doctorate Programme Leader for advice.

### v. **Contract research staff**

Colleagues employed as full-time contract research staff are sometimes obliged, as a condition of their employment, to register for a research degree. This registration will be in full-time mode as the research project for which they are employed is also the basis of the thesis.



**vi. Procedure for the registration of research degree programmes**

You should, in liaison with your Director of Studies, apply to register your research proposal on form REG, (which can be found on the QAE webpage). All applications for registration are considered by the SRDSC and then formally approved by the RDS.

Direct registration for the degree of PhD may be permitted if you hold a research Masters degree (MPhil or equivalent) awarded by our University, the Council for National Academic Awards (CNAA) or by a United Kingdom or international Higher Education Institution.

All proposals for registration should demonstrate:

- That the research project has clear aims and objectives;
- That you have or can acquire the knowledge and skills to successfully complete the project within the appropriate timescale;
- That your proposed supervisory team has the skills, knowledge and experience necessary to successfully supervise your project;
- That the research environment in your academic school is suitable and that sufficient resources are available to you.

**vii. Extension to the Registration Periods**

It is possible for you to gain an extension to your registration periods outlined in Part 9 of the Manual of General Regulations. You should apply directly to the RDS detailing the reasons for the request. Please see section 3.8 in *Part 9 of the Manual of General Regulations*.

**viii. Summary**

<b>Who</b>	Students / Supervisors / Director of Studies Deans of School SRDSC Chairs
<b>When</b>	Within 6 months for full time students and 12 months for part time students
<b>Where</b>	All forms, Code of Practice and Regulations are on our <a href="#">website</a> .
<b>How</b>	You should complete a registration form with the advice of your supervisors. The completed form should be submitted to the school's Research Administrator, or relevant officer who will submit the form to the SRDSC. The SRDSC will make a recommendation to RDS for final approval.
<b>Why</b>	Allows for formal and independent scrutiny of the application at both school and institutional levels and also ensures that due process is followed.



## 12. Transfer from MPhil to PhD

If you are enrolled and registered for PhD via MPhil you are required to apply formally for approval to make the transfer to PhD. This is achieved via the SRDSC using the relevant form.

The request for transfer will be heard by a panel consisting of a minimum of two and a maximum of six research active members of staff from your School(s) with appropriate academic and professional expertise, who are independent of your supervisory team. You must be present at the meeting of the panel and may request that your supervisory team is also present.

The application will normally be made after 9-15 months of full time study (or part time equivalent) and should be supported by a 3,000 to 6,000 word progress report including a brief review and discussion of the work already taken and an account of intended further work.

This should also include a statement indicating how the research makes an original contribution to knowledge.

### i. *Summary*

<b>Who</b>	Any MPhil student wishing to upgrade to PhD status.
<b>When</b>	Normally 12-15 months after registration for full time students and 24-30 months after registration for part time students.
<b>Where</b>	Information should be sought from the relevant academic school. All forms, Code of Practice and Regulations are on our website at:
<b>How</b>	<ul style="list-style-type: none"> <li>• Completion of transfer form</li> <li>• Supervisors sign the relevant sections</li> <li>• Transfer panel is convened</li> <li>• Recommendations sent to the School's research administrator for submission to the SRDSC.</li> <li>• SRDSC makes recommendation to the RDS for final approval</li> </ul>
<b>Why</b>	Allows for formal and independent scrutiny of the application at both school and institutional levels and also ensures that due process is followed.

If you are on the PhD you may apply to have your registration downgraded to an MPhil.



## 13. Annual Review of Progress

### i. *Progress and Review*

Continuation as an enrolled student is dependent on successful completion of an annual review and academic schools should ensure that this policy is adhered to. The SRDSC should formally monitor this and the Chair of the committee should submit a list of all students in the academic school to the committee, giving an update on the annual reviews. This list should be presented at the second meeting of the SRDSC in both semesters A and B.

It is your responsibility to ensure that satisfactory progress is maintained to enable the successful and timely completion of your research degree programme. Your progress will be regularly reviewed both informally with members of your supervisory team, where general matters are discussed, and formally through the annual review process.

The main purpose of progress and review is to provide you with support towards successful completion within the appropriate timescale for your degree. Additionally, the annual review process provides an opportunity for you to feedback on your experience.

#### **All supervisory meetings must be recorded.**

Your progression will be formally reviewed and monitored by the relevant SRDSC which will provide an annual report to RDS on the progress of research degree activity within the school.

Annual review enables SRDSCs to monitor the work being undertaken by their students, to ensure that the training needs of students and supervisors are being met and to identify and resolve any difficulties that you are experiencing. **Continuation on the research degree programme is conditional on a satisfactory outcome from your annual review.**

Informal review meetings between you and your supervisory team should also take place on a regular basis.

### ii. *Procedure for Annual Review*

The Officer and the Chair of the SRDSC will determine the composition of the panel and date for each review.

The Officer to the SRDSC will be responsible for:

- Providing all those involved in the review process (panel members, students and supervisors) with the date, time and venue of the review and a copy of this document;
- Providing you with Form A which should be returned **at least three weeks** prior to the meeting complete with the progress report. The form will be provided to the Chair of the panel prior to the review meeting;



- Providing your supervisory team with Form B and request that it be completed and returned **at least two weeks** in advance of the meeting;
- Providing all panel members **one week** before the meeting with the progress report, and completed copies of Forms A and B. A blank copy of Form C should be sent to the Chair only. Form C should be completed by the Chair of the Annual Review panel;
- Following the review and consideration by the RDS copies of Form C should be forwarded to your academic school. If there are issues that should be brought to the attention of your SRDSC these should be highlighted;
- After all reviews are completed the SRDSC chair will need to complete a list with the names of all students who were reviewed with results for noting at the SRDSC.

### iii. *Progress Report*

Your progress report should focus on progress made in the preceding year and must, where relevant, refer back to your previous report. You should give a clear summary of your aims and methodology and details of any research that has been undertaken in the preceding twelve months (e.g. attendance at postgraduate Research Skills Training modules, subject specific training, conference presentations etc).

If you have specific issues that you would like to raise at the meeting then these should be included in the report.

The precise requirements of the report are detailed below.

### iv. *Annual Review Report*

The report submitted at the end of your first year of study should include:

- The title of your research programme and start date
- The aims and methodology of your research
- A literature review
- A summary of research training to date and identification of any skills training needs
- A forward plan for submission

The report submitted at the end of the second year of study should be the same but with the omission of the literature review and inclusion of any draft chapters or presentations made. If you have submitted your thesis by the end of your third year of study then a progress report is not required as the meeting will be used to prepare you for your oral examination.

If you have not submitted your thesis by the end of your third **or subsequent** year of study then a progress report should be submitted as in the second year but should also include



- A summary of how much work has been completed
- A summary of how much of the thesis has been written
- A forward plan for the completion of the thesis including a timetable and expected submission date

#### **v. Presentation**

You should expect to make a brief oral presentation lasting no more than fifteen minutes. This should provide a brief summary of progress over the past twelve months and should conclude with any issues you wish to discuss with the panel or other skill development issues.

You should also give a narrative account of the work undertaken over the preceding twelve months.

#### **vi. Recommendations of the Review Panel**

In making their recommendation the panel should consider the progress made in the research programme taking into account your date of enrolment and registration. Review panels must take into account the minimum and maximum periods of registration for your programme (see Part 9 of the *Manual of General Regulations*).

The panel may recommend:

- *That the student should progress to the next academic year.*
- *That an amended progress report is submitted. In this case the panel must reconvene within **two months** and the Chair should suggest a date. The panel must also provide written guidance to the student on matters that need to be addressed prior to the subsequent review meeting.*
- *That the student be withdrawn.*
- *In the case where a student fails to attend/undertake an annual review the SRDSC have the option of recommending the student be withdrawn from the programme on the basis of failure to meet the conditions of the annual review.*

Written feedback will be provided within **two weeks** of the meeting.

A general report noting the outcome of ALL reviews should be tabled at the SRDSC by the Chair.

The RDS will receive and consider a report from each school on the annual monitoring process as part of their annual report on PGR activity to RDS.



In the event that you fail to attend your scheduled annual review, your School Research Degrees Leader should put in hand arrangements for a rescheduled annual review to occur within six weeks.

**The Annual Review at the end of year one is particularly important and the Review Panel should consider especially carefully if continuation on the programme is in the best interest of relevant parties and our University. Students who withdraw, or who are withdrawn, before the end of year one of enrolment do not make a negative impact on our University’s PGR performance indicators. In addition, students who withdraw, or who are withdrawn, before they upgrade from MPhil to PhD status do not make a negative impact on our University’s PGR performance indicators.**

**vii. Re-enrolment**

After satisfactory completion of an annual review, you must re-enrol annually. This is your sole responsibility and should be done via UEL Direct. If you have any queries, please contact the relevant administrator in your academic school.

**viii. Summary**

<b>Who</b>	All students All members of supervisory team
<b>When</b>	Normally July, August/January February each year.
<b>Where</b>	Information should be sought from your academic school. Relevant documentation is available on the QAE <a href="#">webpage</a> .
<b>How</b>	Please refer to the relevant sections in both the Code and Part 9.
<b>Why</b>	To ensure satisfactory progress is maintained and to provide support towards successful completion within the appropriate timescale.



## 14. Extension of Registration

It is possible in exceptional circumstances to extend your period of registration. SRDSC may extend your registration for a maximum period of twelve months beyond those periods given in part 9 of the *Manual of General Regulations*.

Applications to extend the approved period of study should be made to the relevant SRDSC.

### i. *Summary*

<b>Who</b>	Any student who has not presented the thesis and whose registration period is about to expire
<b>When</b>	At least 6 months before the expiry of registration
<b>Where</b>	Information should be sought from your academic school.
<b>How</b>	You should complete the Extension of Registration form with the advice of your supervisors. The completed form should be submitted to the SRDSC for approval.
<b>Why</b>	Allows for formal and independent scrutiny of the application at both school and institutional levels and also ensures that due process is followed.



## 15. Suspension of Enrolment / Registration

As detailed earlier in the Code, it is possible to suspend your period of enrolment or registration. Any period of suspension must be agreed by your SRDSC, in advance. You cannot normally intermit after the second week of each University semester and intermission must be for a minimum of one semester and a maximum of two years.

You will have a maximum of 12 months intermission as of right (with an additional 12 months subject to evidence of exceptional circumstances) subject to the agreement of your Director of Studies. The time must be taken in semesters (for the purposes of this procedure a semester will be treated as though it is six months long). If the suspension stretches beyond the first 12 months you must demonstrate that your research project will still be viable on your return.

After 24 months you must either return to study or you will be withdrawn from your programme. Should you be withdrawn through this procedure, you may be able to re-apply for a place at our University and request that some of your previous registration period be taken into account.

**It is the responsibility of the academic school to monitor periods of suspension for their research degree students and, where necessary, initiate withdrawal.**

Prior to the resumption of your studies, you should contact your Director of Studies to ensure that arrangements are in place to receive you and that the relevant documentation has been completed.

International students should read the relevant advice herein and should always contact the International Student Advice Team (ISA) service [isa@uel.ac.uk](mailto:isa@uel.ac.uk) before submitting their application. Academic schools should always confirm with ISA that the applicant has sought their advice and given approval before intermitting a student.

### i. *Summary*

<b>Who</b>	All students seeking to suspend their study
<b>When</b>	Request for suspension of studies should be made in advance.
<b>Where</b>	Information should be sought from your academic school.
<b>How</b>	You should, after consulting with your Director of Studies, submit the completed form to the school's research administrator who will then submit the form to the SRDSC for recommendation. Applications for retrospective suspensions will be submitted to the RDS for approval.
<b>Why</b>	Allows for formal and independent scrutiny of the application at both school and institutional levels and also ensures that due process is followed.



## 16. Write-up

You can only make the move to write-up status at the beginning of a semester. All applications for write-up should be made taking into account this timeline. The application form should be completed and submitted to the SRDSC. After consideration by the SRDSC, the form is then sent to the relevant research administrator for processing.

Once you enter the write-up phase of your programme, our University will charge a significantly reduced fee for the academic year. Please note, this fee cannot be paid in instalments and if you submit the thesis within the respective academic year, no refund will be given.

**It is not possible to move back to registered status after moving to write-up status.**

### i. *Extension to the Write-Up Period*

It is possible for you to gain an extension to the write-up period outlined in Part 9 of the *Manual of General Regulations*. This extension is a maximum of twelve months for full-time students and twenty-four months for part-time. You should apply directly to your SRDSC detailing the reasons for the request. Please see section 3.8 in *Part 9 of the Manual of General Regulations*.

### ii. *Summary*

<b>Who</b>	All students seeking to move to write-up status
<b>When</b>	Request for a transfer to write-up status should be made when the student has finished actively pursuing their research and no supervisory support is being received beyond comments on the drafting of the thesis and/or administrative matters.
<b>Where</b>	Information should be sought from your academic school.
<b>How</b>	You should, after consulting with your Director of Studies, submit the completed form to your school's research administrator who will then submit the form to the SRDSC for approval.
<b>Why</b>	Allows for formal and independent scrutiny of the application at school level.



## 17. Examination

Examination has two distinct, related phases:

a) In the first instance, a thesis or other form of submittal is presented to be assessed by an examination team;

b) After assessment a recommendation will be made as to whether or not you should proceed to the oral examination (*viva voce*), a process by which you will be expected to orally defend your thesis or other form of submittal in the presence of at least two independent examiners and an independent chair.

### i. *What is expected?*

The aim of the viva process is to satisfy the examiners that:

- your thesis is your **own original work**;
- you have a **good command** of your subject ;
- your thesis represents an **original contribution to knowledge**.

The administrative process for an examination is outlined in the diagram below. Students and staff are encouraged to read the Code and Part 9 of the *Manual of General Regulations*.

### ii. *Application for the Approval of Examination Arrangements*

You will be required to orally defend your thesis (the *viva voce*) as part of your examination process. The oral examination is integral to confirming that you have met the standards of the award.

You should, in liaison with your Director of Studies, submit an application for the approval of your examination arrangements (Form EXA) to your SRDSC, to be agreed by RDS, normally six months, **and no less than two months**, before the intended date of your examination (before the expiry of the maximum registration period or the period of write-up). The form should be accompanied by Form EXN – Nomination as an Examiner.

Your proposed examiners must fulfil the criteria detailed in the regulations. Former employees and UEL graduates are not eligible to act as external examiners until an interval of at least three years has elapsed.

**Once the examining team has been appointed, you are under examination conditions and are not permitted to communicate with or submit your thesis directly to your examiners. Doing so will risk the cancellation of your examination and your research degree.**



Upon receipt of the approved application, the Graduate School will issue letters of appointment to approved examiners giving the name(s) of all appointed examiners and the provisional date of the examination. You and your Director of Studies will be notified of the provisional examination arrangements. Once your examination arrangements are approved, the Director of Studies is responsible for setting the viva date and time. The administrative officer in your Academic School is responsible for arranging a suitable venue and notifying you, the Graduate School and your examiners accordingly.

### iii. **Submission of the Thesis for Examination**

You are strongly advised to consult your supervisory team before submission of your thesis or other form of submittal to the Graduate School and must note that our University will not accept for examination a thesis that does not adhere to the regulations relating to its presentation.

A thesis which fails to conform to the Regulations will be referred back. It is not permissible to submit the thesis until the minimum period of registration for the programme, as specified in Part 9 of the *Manual of General Regulations*, has elapsed. In the event that your research has progressed exceptionally well and you wish to submit your thesis prior to having reached the minimum period of registration, an application from your Director of Studies to RDS is required.

Your thesis should adopt the Harvard style of citation and referencing as outlined in the publication *Cite Them Right* (Pears, R. and Shields, G. (2010) ***Cite Them Right: The Essential Referencing Guide***. 8th edn. Basingstoke: Palgrave Macmillan). You can find an online version of *Cite Them Right* by logging on to UEL Plus and looking under the Campus Bookmarks section.

The Graduate School will only accept a thesis, thesis with amendments, or other form of submittal for dispatch to the examining team when it has been submitted, as a whole or in its constituent parts, to **Turnitin**. Turnitin is an internet-based text matching service that has been developed by a commercial company. It is used, under license, by most UK Universities, including UEL.

Work that is submitted to Turnitin generates a Turnitin Originality Report, showing which parts of it have been reproduced and from secondary sources. The Graduate School will determine that the thesis has been submitted to Turnitin based on the production of the Turnitin receipt. Students are not required **to submit the Originality Report generated by Turnitin along with the thesis**. It will only be used where the examining team suspect plagiarism or collusion and where a formal investigation has been initiated using our agreed procedures for such matters. The Graduate School will accept on trust that the thesis submitted for examination is the work submitted to Turnitin. The Director of Studies should seek advice from the Learning and Teaching Advisors within Schools and advise students and supervisory teams on the institutional policy regarding use of Turnitin for research degree theses.

You must make your own arrangements for the production of your thesis and it is your responsibility to ensure that the work accords with Part 9 of the *Manual of General Regulations*.



You must then send your thesis to the Graduate School at least two months in advance of the date of your examination. You are required to supply one copy for each examiner and one copy for your Chair of Examiners. These copies will be distributed to allow the examiners approximately six weeks reading time.

**Under no circumstances should you or your supervisors present the thesis directly to the examiners. Doing so will risk the cancellation of your examination and your research degree.**

You have the right to submit your thesis, or other form of submittal, without the support of your Director of Studies. **Once submitted, the thesis may not be further revised prior to the initial examination.**

You are only able to submit your thesis or other form of submittal if your minimum registration period has elapsed or you have obtained approval from RDS for a shorter period of registration.

#### **iv. Preliminary Reports**

Examiners are required to submit preliminary reports on the thesis using Form PGR (A), which will be dispatched along with the thesis. The purpose of the preliminary report is to establish that the examiners are satisfied that a *prima facie* case to proceed to an oral examination has been made and to allow sufficient time for the circulation of instructions to the examiners. These individual reports are to be received by the Graduate School **at least 7 days** before the examination. Copies of all reports will be sent to each examiner and the Chair, along with Form PGR (B) (Form PGR (C) in the event of re-examination) for the Chair to pass to the examiners to complete at the end of the examination.

**In the event that the preliminary report is not returned within the aforementioned timeframe, the Graduate School will normally be required to provide notification that the examination is to be postponed.**

#### **v. Chair of Examiners and Conduct of the Examination**

Although required to be present at the oral examination, the Chair of Examiners has no direct participation in the assessment of the thesis or other form of submittal or oral examination. The Chair will receive copies of the preliminary reports prepared by the examiners in advance of the oral examination. These are provided for information only, to assist the Chair in answering queries from the examiners about matters of process: the Chair is not expected to be a subject area specialist in the field being examined or to answer questions or give opinions about the thesis or other form of submittal.

The involvement of the Chair does not begin until the oral examination itself, but it is necessary that the Chair has a clear understanding of the process leading up to the oral examination and the respective responsibilities of others involved. The Chair will receive copies of all relevant



correspondence relating to the examination from the point at which the examination arrangements are approved.

The examiners should convene for a short time before the oral examination in order to discuss their preliminary reports and the questions they wish to put forward. The Chair should ensure that no other parties are present at this meeting.

You may give a short presentation at the outset of your examination if you wish. The Chair and examiners should be notified of your intention to do so before the day of your examination.

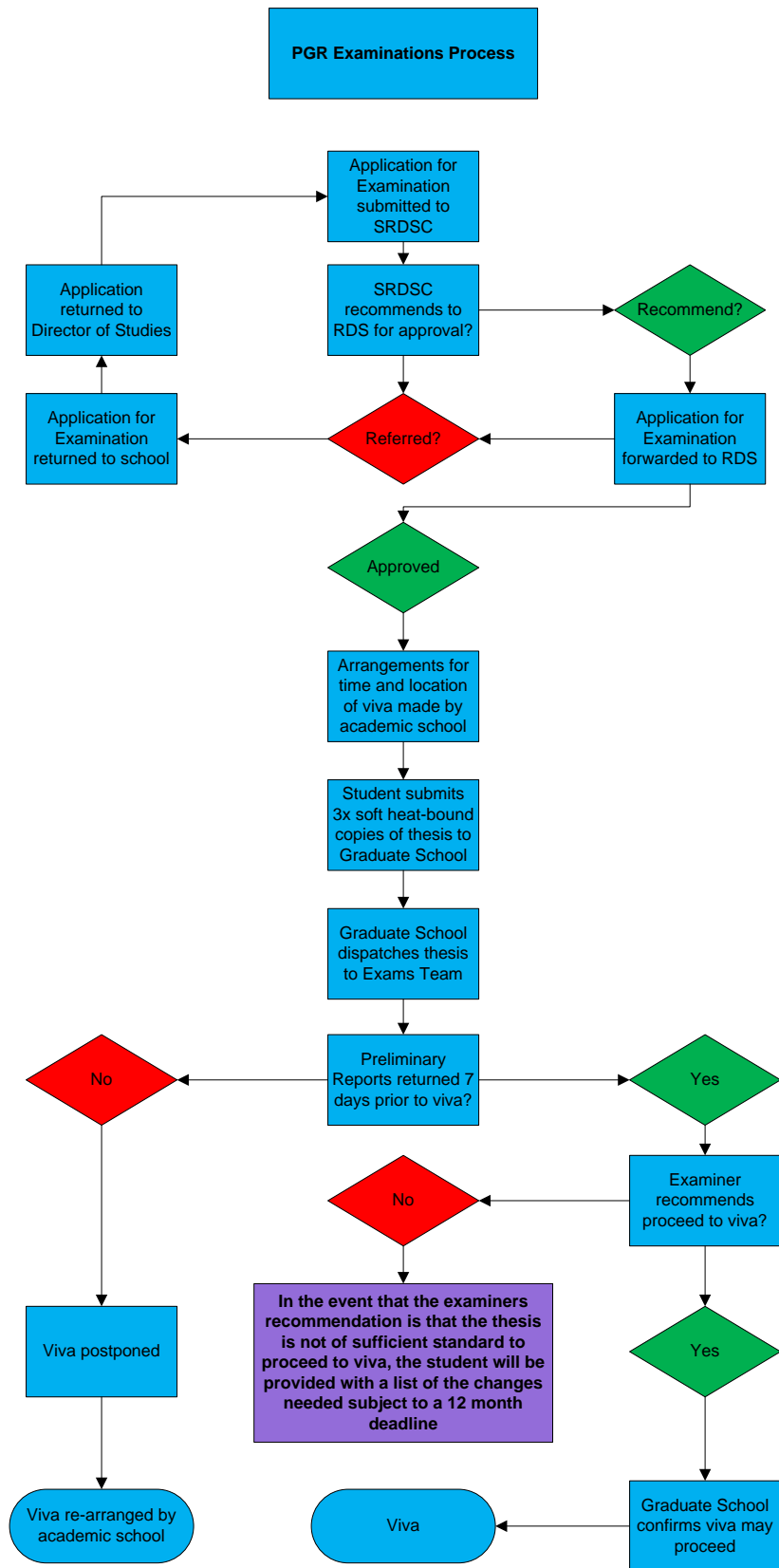
Once the examiners are prepared, the Chair will ask you to join them and open the proceedings. The supervisory team may also be present with your consent. Supervisors may not contribute to the defence of the thesis nor participate in the exercising of academic judgement by the examiners. No other persons may attend your examination.

The length of the oral examination will vary due to the individual nature of the work being assessed. You should normally expect to undergo a mock oral examination in your final annual review meeting.

**The Chair of the examination should intervene if the examination is overly long or for any other good reason.**

Examiners are required to reserve judgement until after the oral examination and should ensure that you are given a fair opportunity to present an oral defence of your thesis or other form of submittal. Care should be taken to ensure that you are not disadvantaged by being given the impression that your examiners have already arrived at a decision prior to the *viva voce*, especially in cases where the likelihood is that the outcome will not be in your favour. Both you and your supervisor(s) must withdraw prior to the deliberations of the examiners on the outcome of the examination.





#### **vi. Outcomes of the Examination**

The outcomes available to examiners are detailed in Part 9. In the event of minor or major amendments to the thesis being recommended, the Graduate School will communicate the examiners' comments to the student and Director of Studies, along with the date by which the revised thesis must be submitted to the Graduate School. The thesis will be sent to the examiner(s) nominated on Form PGR (B) for checking.

If re-examination is to be without an oral examination, the nominated examiner(s) is to inform the Graduate School in writing by signing the provided declaration whether you have satisfactorily completed the requested amendments in the allotted time and, if so, that they are satisfied that you have fulfilled all the obligations placed upon you. Electronic signatures are not accepted and the signed declaration should not be sent via email. All correspondence must bear your name, the award recommended (e.g. PhD, a named Professional Doctorate), the title of the thesis or other form of submittal and the date.

In the event of re-examination being recommended with an oral examination, the Director of Studies or their nominee must arrange a date and venue for the *viva voce*. There is no need to make another application for examination arrangements if the examiners are to remain the same, but the Graduate School must be informed of the new arrangements.

#### **vii. Post Examination**

Following the oral examination, the examiners must, where they are in agreement, present a joint report and recommendation relating to the award of the degree to our University. The Chair will supply the appropriate form – Form PGR (B) (Form PGR (C) in the event of re-examination). In cases where there is a difference of opinion between examiners, each examiner must complete a separate form.

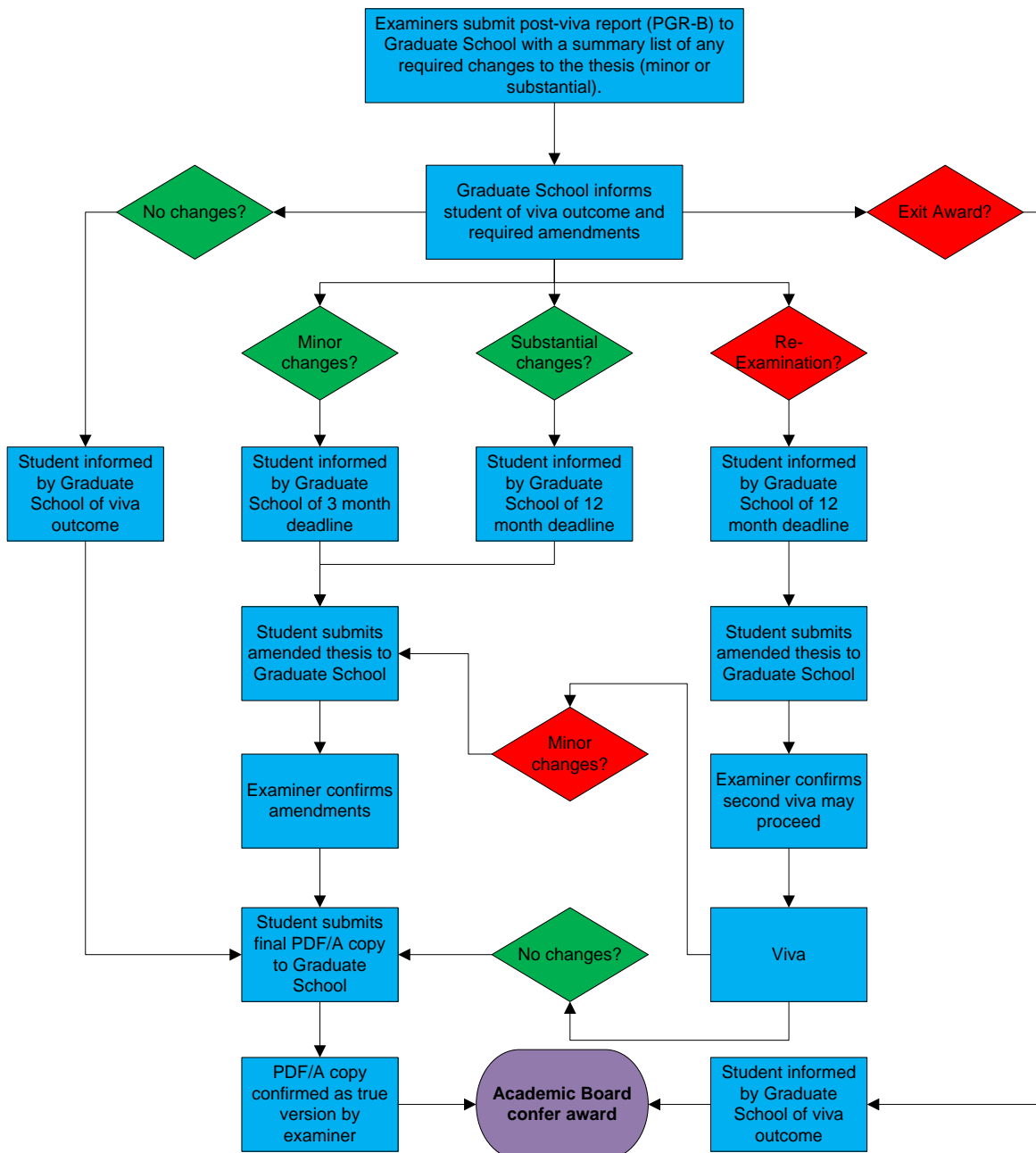
The preliminary reports and joint recommendation of the examiners must together provide sufficiently detailed comments on the scope and quality of the work to enable our University to satisfy itself that the criteria for the award of the degree have been met. Examiners may informally indicate their recommendation on the result of the examination to you during the viva, but they must make it clear that the final decision to award the degree rests with our University.

The Chair should submit the completed form(s) to the Graduate School immediately following the conclusion of the examiners' deliberations on the outcome of the oral examination.

Where the examiners require revisions to be made to a thesis it may not be practical for the examiners to draft guidance on the deficiencies immediately following the oral examination. In such cases it is reasonable for the examiners to be given time to prepare their notes, but the Chair must ensure that the report form is completed and returned. The examiners should indicate on the report form that the notes for guidance in making the amendments will follow and said notes must be submitted to the Graduate School no later than **two weeks** from the date of examination.



**PGR Process following Examination**



**viii. Summary**

<b>Who</b>	All students Supervisory team
<b>When</b>	At least 6 months before the thesis will be complete
<b>Where</b>	Forms EXA and EXN
<b>How</b>	<p>Supervisory team nominates the examination team for approval. Complete forms EXA and EXN and submit form to the relevant officer in schools. The relevant officer should then submit the form to the SRDSC for recommendation and then to the RDS for final approval.</p> <p>Director of Studies should set the viva date and time.</p> <p>Administrative Officer in the Academic School should organise the venue and communicate date, venue and time of the viva to the Graduate School, examiners, Chair, students and supervisory teams.</p> <p>Thesis or other form of submittal should be submitted a minimum of two months before the scheduled viva.</p>
<b>Why</b>	Allows for formal and independent scrutiny of the application at both school and institutional levels and also ensures that due process is followed.



## 18. Final Version of the Thesis

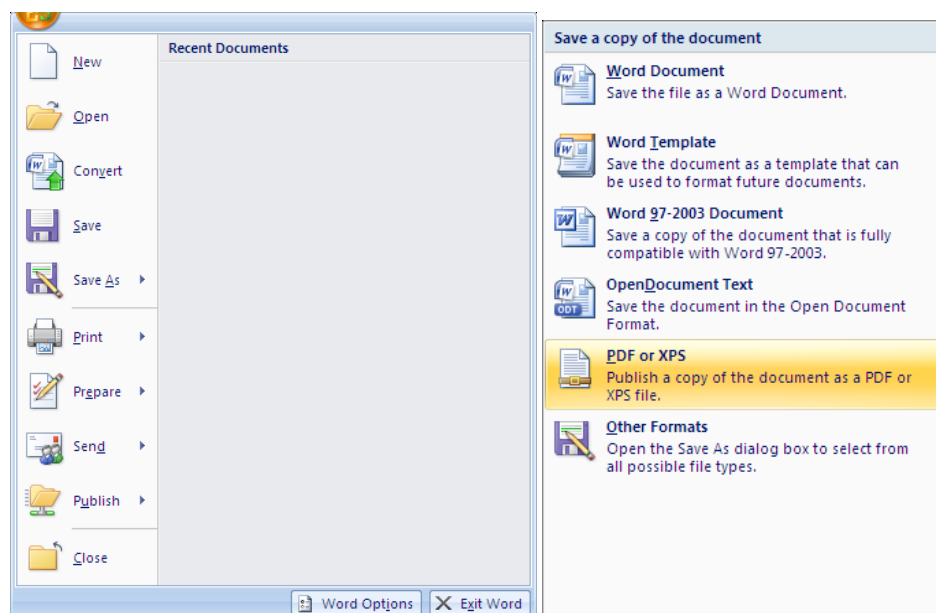
After the examiners' recommendations have been met, the thesis must be presented as a PDF/A file before the degree can be awarded. This copy will be retained by our University and will be permanently logged in the appropriate section of the library.

An electronic copy of the final version of the thesis will also be submitted to [The British Library](#) for archiving in the [EThOS](#) system. UEL is working in partnership with the British Library's EThOS service to provide worldwide access to UEL PhD theses. Interested researchers may request a UEL thesis via the EThOS site and receive an electronic copy from the British Library. All digitised theses from The British Library will be made available to UEL users through our library catalogue.

### i. *Creating a PDF/A version of your thesis*

*Word 2007 (accessible via IT facilities in UEL campus libraries) allows users to save a file in PDF and PDF/A formats.*

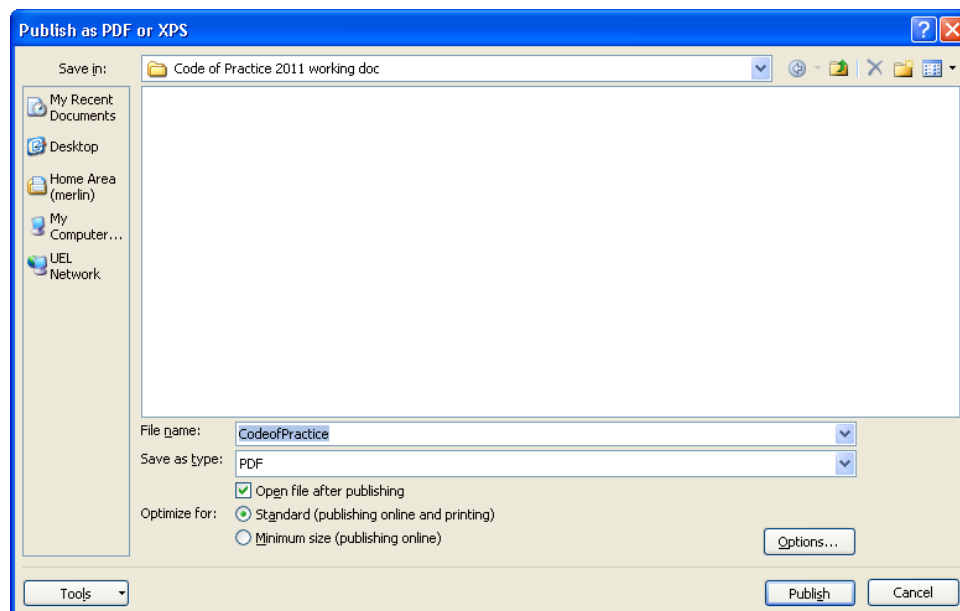
#### **Step 1:**



Select **Save As** and **PDF or XPS**

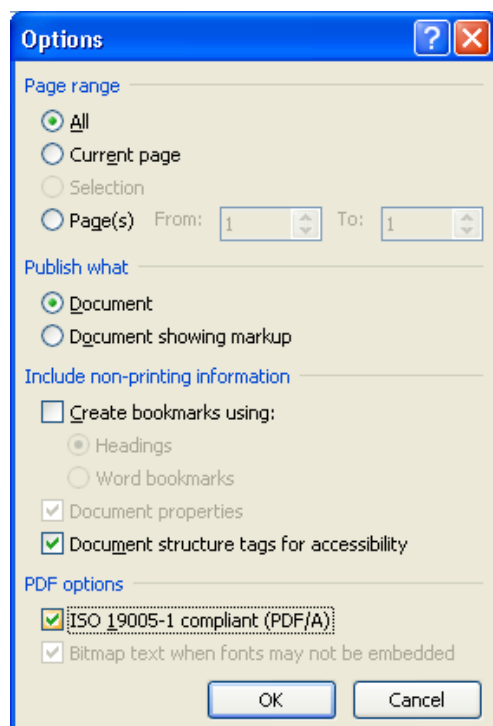


**Step 2:**



**Select Options**

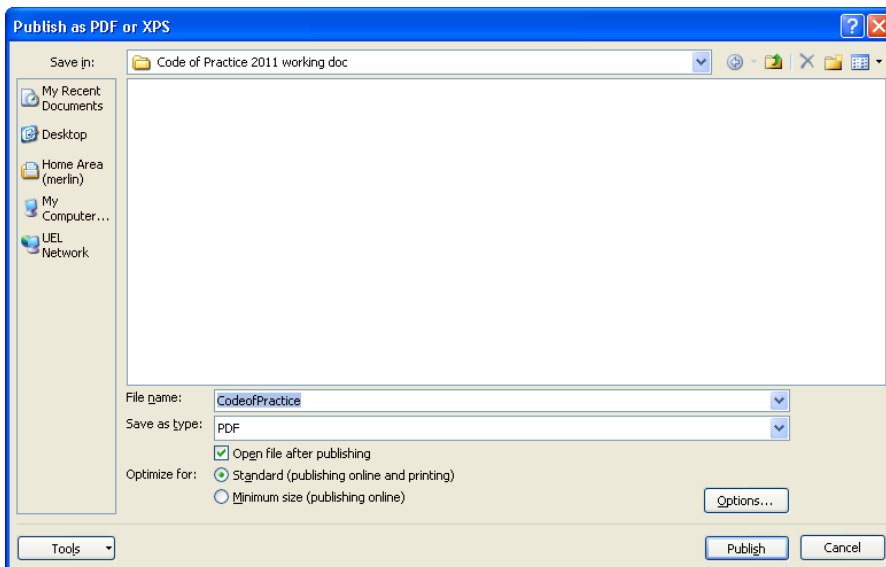
**Step 3:**



Under **PDF options**, select the tick-box labelled **ISO 19002-1 compliant (PDF/A)**.



**Step 4:**

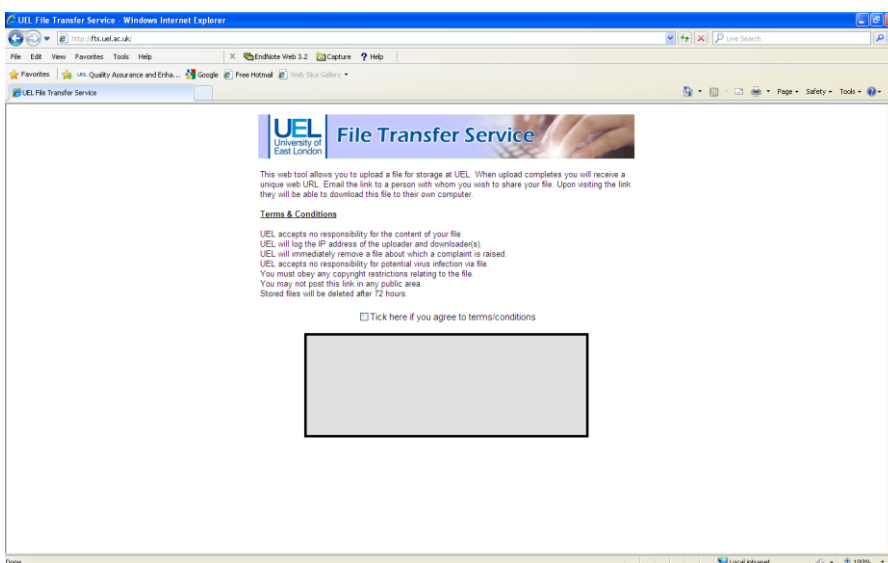


Select **Publish**. Your file will now appear as a PDF/A document ready for long-term archiving.

**ii. Submission of the Thesis**

The PDF/A version of the thesis should be submitted via the **UEL File Transfer Service (FTS)** to the Graduate School. The FTS service is accessible [here](#).

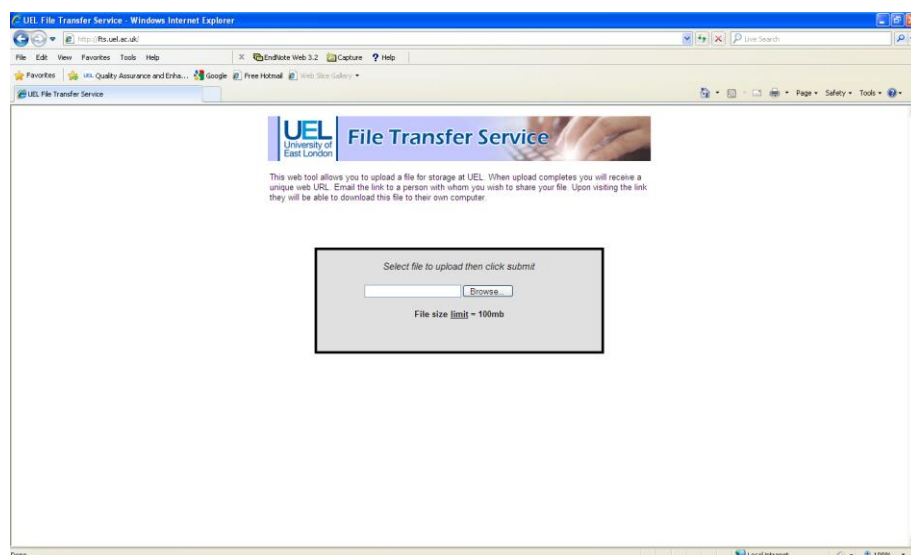
**Step 1:**



**Read and Accept Terms and Conditions.**

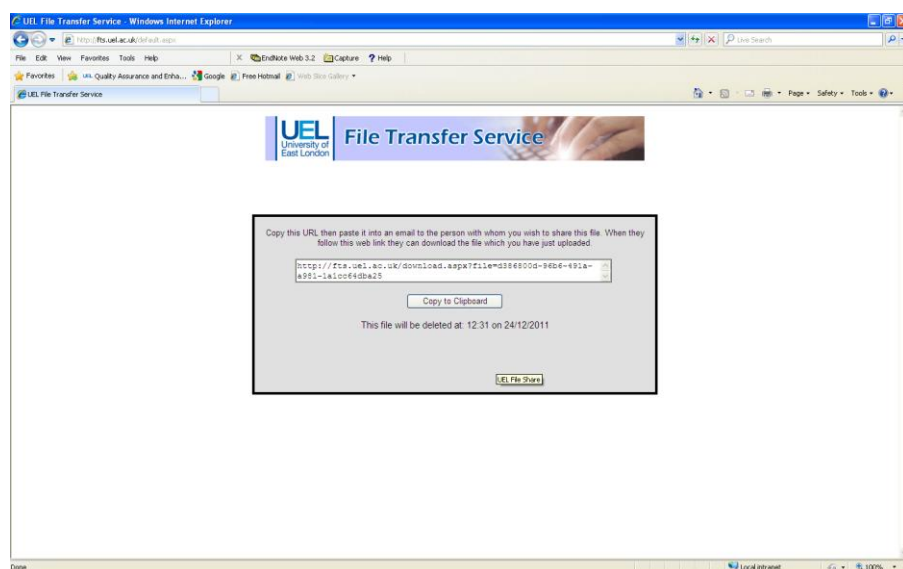


## **Step 2:**



***Upload thesis file as PDF/A.***

## **Step 3:**



***Forward URL link via email to the Graduate School.***

Once uploaded, the FTS will generate a URL link which should be sent to the Senior Administrative Officer for Examinations in the Graduate School at [c.lake@uel.ac.uk](mailto:c.lake@uel.ac.uk). Please note, this link will remain active for 72 hours only.



Provided the RDS is satisfied that everything is in order, it will recommend to the Academic Board of our University that your degree be conferred. Once Academic Board has confirmed that your degree be conferred, the Graduate School will arrange for the degree certificate to be issued and notify the Graduation Team that you should be invited to the relevant awards ceremony.

**iii. *Presentation of work in a form other than the written word***

You may undertake a programme of research in which your own creative work forms, as a point of origin or reference, a significant part of the intellectual inquiry. Such creative work may be in any field, (*for instance: architecture; creative writing; dance or performance; design; engineering and technology; film; fine art; musical composition*) but must have been undertaken as part of the registered research programme. In such cases, the presentation and submission may be partly in other than written form. Section 20 of Part 9 of the *Manual of General Regulations* provides further guidance on the rules governing the presentation of work in a form other than the written word.



## 19. Feedback Mechanisms

### i. *Feedback*

All Schools have in place formal and informal procedures for gaining feedback from research students concerning their programme. In addition the Planning Unit will produce regular summaries for Academic Board and other University committees, of student surveys.

A student representative also sits as a committee member on RDS.

### ii. *Complaints and Appeals*

Our University has formal procedures for complaints and appeals but you should always try to resolve any problems in the first instance through informal resolution. In the case of a complaint, this would normally be with your Dean of School and the person most directly involved. In the case of an appeal this would normally be with your Director of Studies and/or the Chair of your SRDSC.

If you wish to have an informal discussion with an independent individual outside of your school you should contact a [UELSU](#) Student Union officer. The formal procedures for a complaint can be found in Part 14 and for an appeal in Part 9 of the *Manual of General Regulations* on our University [web site](#).

### iii. *Role of the Office of the Independent Adjudicator*

The Higher Education Act 2004 required the appointment of an independent body to run a student complaints scheme in England and Wales. [The Office of the Independent Adjudicator \(OIA\)](#) was chosen to operate this scheme, to which all universities in England and Wales must subscribe. Its role is to review individual complaints by students against universities.

You should follow the relevant complaint procedures and the OIA should normally be contacted after our University's complaints procedures have been exhausted and our University has made a judgment on the relevant issue.

### iv. *Academic Misconduct*

Our University is committed to academic integrity and will take firm action against any student who breaches these regulations. More specific information on the Academic Misconduct Regulations can be found in [Part 8](#) of the *Manual of General Regulations*.



**v. *Research Misconduct***

The quality of our University's research output is core to our institutional strategy and reputational standing. As such, UEL will take appropriate disciplinary action in all proven cases of research misconduct ([University's Research Misconduct Policy](#)).

